



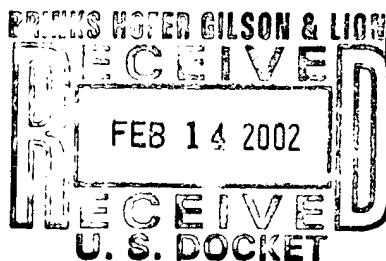
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

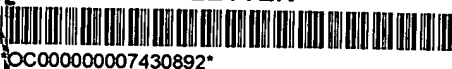
APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/037,293	12/21/2001	Shuji Sasaki	9683/98

CONFIRMATION NO. 4503

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, IL 60610



FORMALITIES LETTER



Date Mailed: 02/06/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 870.

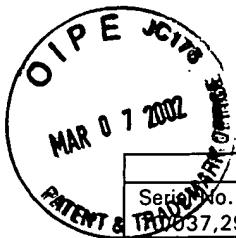
*A copy of this notice **MUST** be returned with the reply.*

*T. Agent*  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/12/2002 HMARZ11 00000017 10037293

01 FC:101 740.00 OP  
02 FC:105 130.00 OP



\$Sector

TRANSMITTAL LETTER			Case No. 9683/98
Serial No. TD037,293	Filing Date December 21, 2001	Examiner To Be Assigned	Group Art Unit 2152
Inventor(s) Shuji Sasaki et al.			
Title of Invention Settlement Processing Method and Settlement Processing System			

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is Transmittal Letter (in duplicate), Notice to File Missing Parts of Nonprovisional Application Filing Date Granted, Response to Notice to File Missing Parts of Nonprovisional Application Filing Date Granted (in duplicate), Declaration, Power of Attorney, Assignment Recordal, Assignment, Checks for \$870 and \$40, and Return Postcard.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a \_\_\_\_\_ month extension of time.
- ☒ No additional fee is required.
- ☐ The fee has been calculated as shown below:

	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra
Total		Minus		
Indep.		Minus		
First Presentation of Multiple Dep. Claim				

Small Entity	
Rate	Add'l Fee
x \$9 =	
x 42 =	
+ \$140 =	
Total add'l fee	\$

Other Than Small Entity	
Rate	Add'l Fee
x \$18 =	
x \$84 =	
+ \$280 =	
Total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$\_\_\_\_. A duplicate copy of this sheet is enclosed.
- ☒ Checks in the amounts of \$870 and \$40 to cover the filing fees are enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.



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PATENT TRADEMARK OFFICE

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, ILLINOIS 60610  
(312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on February 28, 2002.

Date:

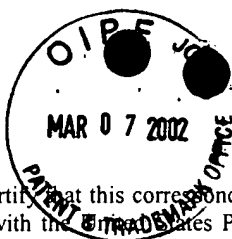
February 28, 2002

Signature:

Gregory H. Zayin

Respectfully submitted,

Gregory H. Zayin  
Gregory H. Zayin  
Registration No. 48,059  
Agent for Applicants



I hereby certify that this correspondence is being deposited with the United States Postal Service, with sufficient postage, as first class mail in an envelope addressed to:

Commissioner for Patents  
Washington, D.C. 20231  
on February 28, 2002

Date of Deposit

Gregory H. Zayia - Reg. No. 48,059

Name of applicant, assignee or  
Registered Representative

*Gregory Zayia*

Signature

*February 28, 2002*

Date of Signature

Case No. 9683/98

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Shuji Sasaki et al.

Serial No.: 10/037,293

Filed: December 21, 2001

For: Settlement Processing  
Method and Settlement  
Processing System

Attention: Manager,  
Application Branch

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION  
FILING DATE GRANTED**

Commissioner for Patents  
Washington, D.C. 20231

Attn.: Box Missing Parts

Dear Sir:

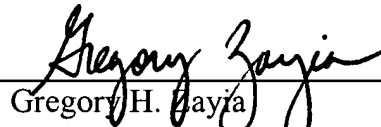
In response to the Notice to File Missing Parts of Application Filing Date  
Granted mailed February 6, 2002, a copy of which is attached, enclosed herewith for  
filing are the following documents:

- ☒ Fully executed Declaration for Patent Application and Power of Attorney for  
the above-referenced patent application.
- ☒ Applicant is:

- ☐ a small entity, verified statement is:
- ☐ attached
- ☐ already filed
- ☒ other than small entity
- ☒ Checks totaling \$870 for:
- ☒ Filing Fee of \$740.
- ☒ Surcharge of \$130.
- ☐ Additional Claim Fees of \$\_\_\_\_.
- ☐ Petition for Extension of Time (37 C.F.R. § 1.136(a)) to file missing parts (in duplicate).
- ☒ Other: Assignment Recordal, Assignment, Check for \$40, and Return Postcard.
- ☒ The Commissioner is hereby authorized to charge any deficiencies in fees or credit overpayment to Deposit Account No. 23-1925. A duplicate copy of this paper is enclosed.

Respectfully submitted,

Dated: February 28, 2002

  
\_\_\_\_\_  
Gregory H. Zayia  
Registration No. 48,089  
Agent for Applicants

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, IL 60610  
(312) 321-4200